

Statement of Work
to
Contract Number *PSCXXXX*
for
Superior Court Case Management System (SC CMS) Project
Quality Assurance Consulting Services

This Statement of Work (SOW) is made and entered into by and between the Administrative Office of the Courts (AOC), hereinafter referred to as AOC, and *[Vendor Name]* (Vendor) for contracted services to provide expert level Quality Assurance (QA) services for the Superior Court Case Management System Project, hereinafter referred to as SC CMS.

This SOW incorporates by reference the terms and conditions of Contract Number *PSCXXXX* in effect between the AOC and Vendor. In case of any conflict between this SOW and the Contract, the Contract shall prevail. AOC and Vendor agree as follows:

1. Introduction

The primary deliverables under this SOW are related to the Superior Court Case Management System (SC CMS) project. The services provided under this SOW will enable the AOC to support the business functions of state superior courts and county clerks by acquiring and deploying a Superior Court Case Management System to all 39 Superior Courts in the state. The SC CMS will specifically support calendaring and caseload management functions, along with participant/party information tracking, case records and relevant disposition services functions in support of judicial decision-making, scheduling, and case management.

2. Project or Task Objectives

Vendor must provide services and work products, and otherwise do all things necessary for or incidental to the performance of work as set forth under this SOW for all services as provided below:

- Monitor progress against schedule (status and stage of completion), costs, and requirements compliance for risk indicators.
- Inform the AOC of risk factors and prescribe corrective actions to reduce or prevent a risk.
- Meet regularly with the project team, as needed, upon intervals based upon current project activities.
- Document weekly accomplishments and deliverables including a written assessment of each deliverable and task specified in the Project Plan for the project.
- Review the quality of deliverables and products produced.
- Specify plans for the following month's accomplishments.

- Attend required meetings with RFP Steering Committee, Judicial Information System Committee (JISC), AOC and Vendor project teams, and other stakeholders as required.
- Provide Quality Assurance consulting services beginning with the Request for Proposal (RFP) and continue through system implementation and initial rollout.

3. Scope of Work

Vendor shall provide Services and staff, and otherwise do all things necessary for or incidental to the performance of work, as set forth below:

TASK 1: QA ASSESSMENTS OF PROJECT

- 1) Provide an independent assessment of project management and other management activities that support the successful completion of the project
- 2) Conduct routine assessment of project sponsorship, including but not limited to:
 - a) Evaluation of Executive Sponsor and key executives engagement in the project
 - b) Verification of routine and effective project communication with Executive Sponsor and other key executives
 - c) Verification that project governance activities are occurring as planned as well as an assessment of the effectiveness of the processes
- 3) Routine assessment of the project's management and organizational structures, including but not limited to:
 - a) Evaluation of the effectiveness of the project's organizational structures
 - b) Verification that lines of reporting and responsibility provide adequate and effective technical and managerial oversight
 - c) Evaluation of the project methodologies. Evaluation of the ability of the project managers and project team to successfully perform the planned methodology
 - d) Evaluation of the project decision-making, governance and oversight processes
 - e) Evaluation of established partnerships with key stakeholders and other organizations critical to the success of the project
- 4) Routine assessment of project management plans, including but not limited to:
 - a) Confirmation that key project management plans have been documented, are based on best practice and scaled for the project
 - b) Validation that project management plans (and any subsequent modifications) have been documented in the project governance plan and have been communicated to the project team and stakeholders
 - c) Evaluation of the routine use and maintenance of these documented plans
 - d) Evaluation of the effectiveness of the activities associated with all project management plans
 - e) Routine assessment of project risk management activities
 - f) Evaluation of the project's budget control and tracking mechanisms

- 5) Routine assessment of the project's schedule/work plan activities including but not limited to:
 - a) Validation that the project's work breakdown structure has been created and contains sufficient detail to schedule the project tasks and resources
 - b) Evaluation of the estimating and scheduling processes for the project
 - c) Review of work plans to verify that adequate time and resources are assigned and committed throughout the life of the project
 - d) Review of the processes used for managing, analyzing and reporting resource utilization to determine progress and schedule impacts. This will include an assessment of the availability of designated resources/skills when planned
 - e) Verification that milestones and completion dates are established, monitored, and met
 - f) Verification that schedule variances are monitored, analyzed, reported and addressed
- 6) Routine assessment of the project staffing plan including but not limited to:
 - a) Examination of the job assignments, skills, training and experience of the personnel assigned to the project (including project staff, other state staff and contracted staff).
 - b) Evaluation of the hiring plan and/or procurement plans to verify adequate resources will be available when needed
 - c) Evaluation of the use of sub-contractors or other external sources of project staff in project planning and development activities
 - d) Assessment of the availability of planned staff during the life of the project
- 7) Routine assessment of the ability of contracted Vendor(s) to maintain the required skills, personnel, plans, resources and procedures

TASK 1: DELIVERABLES

Vendor will conduct an initial QA assessment on the current state of the project and present the results in a report. The report must include findings and detailed recommendations on how the AOC can improve activities, processes and results in assessed areas.

TASK 2: QA APPROACH AND PLAN

Outline methodologies, standards, templates, benchmarks or other information that will be routinely used in producing QA reports or other deliverables

TASK 2: DELIVERABLES

Vendor will create a plan for this QA engagement that contains the approach to be used and a project plan outlining key tasks, deliverables and timelines for execution of the approach. This plan will be developed in consultation with the Project Managers, CIO and Executive Sponsor. **TASK 3: QA REPORTS**

- 1) Routine evaluation of project reporting including but not limited to:
 - a) Verification that status is accurately and effectively traced using project metrics.
 - b) Verification that status report processes for internal and external oversight are documented, followed and remain effective.
 - c) Periodic assessment of satisfaction levels of end users, project team members and key stakeholders.

- 2) Routine evaluation of the project's procedures for managing requirements including but not limited to:
 - a) Verification that system requirements are well defined, understood, and documented and that stakeholders have accepted requirements as complete
 - b) Verification that analysis of customer, state and federal needs and objectives have been performed and are being addressed within documented requirements
 - c) Validation that technical staff consider the documented system requirements to be complete enough to proceed with design and development activities and they have the same understanding of the requirements as the stakeholders do
 - d) Verification that critical stakeholders have reviewed and had input to changes which impact project objectives, cost or schedule
- 3) The Vendor selected will also provide, as part of routine reports, verification of the planned procurement strategy including but not limited to:
 - a) Review of and recommendations on the procurement solicitation documents
 - b) Verification that the obligation of the Vendor/contractor/external staff, (terms, conditions, statement of work, requirements technical standards, performance standards, development milestones, acceptance criteria, deliver dates, etc.) are clearly defined within procurement documents
- 4) During the implementation stage of the selected Case Management System, the Vendor will also provide as part of routine reports:
 - a) Verification that interface and information exchange requirements have been identified.
 - b) Verification that the level of interface complexity has been determined and appropriately reflected in the project plan
 - c) Periodic reviews of implementation plan development including but not limited to:
 - Verification that implementation planning is comprehensive and realistic for all impacted parties
 - Review of user training plan and activities for timeliness and effectiveness of training and staff readiness
 - Confirm that appropriate formal relationships are in place with all organizations supporting an interface
- 5) As appropriate, periodic reviews of full life cycle testing processes and report findings and recommendations. Sample activities include:
 - a) Evaluation of testing plans, procedures and supporting processes and tools to determine use and effectiveness
 - b) Evaluate interface testing plans and procedures
 - c) Review documented defect tracking, acceptance procedures and acceptance criteria for product and monitor use of the procedures and criteria

TASK 3: DELIVERABLES

Written QA reports will be produced by Vendor's QA Professional and include a cover letter

signed by the Vendor's staff responsible for the content that attests to the independent preparation of the report.

In addition, the QA report will include an executive summary that describes:

- The QA Professional's brief assessment of the project
- A summary of findings, recommendations, and significant risks contained in the detailed portion of the QA report
- AOC response to any findings, recommendations, and significant risks
- A listing of any findings the agency has not addressed or has not resolved by the due date

The QA report will also include the following:

- Sections that include detailed descriptions of the information included in the executive summary
- A table that summarizes all open findings as well as those closed during the reporting period, including the Vendor's assessment of the agency's actions
- Address the Project Phases (s) in process and potential risks to subsequent phases

The Vendor shall submit finalized QA reports directly to the AOC State Court Administrator and the Chair of the JISC and other project staff as directed by the State Court Administrator.

The finalized QA reports shall be due monthly. At the direction of the Authorizing Entity, the Vendor may be required to submit written reports more frequently than the stipulated reporting cycle.

Reports will also note any new or modified methodologies, standards, templates, benchmarks, etc. not previously outlined in the QA Approach and Plan deliverable.

TASK 4: PHASE READINESS ASSESSMENT

Vendor shall provide a Phase Readiness Assessment within the QA report at the end of each Project Phase. This review shall determine if the project is ready to proceed to the next phase.

TASK 4: DELIVERABLES

At the end of each Project Phase, the QA report shall include a Phase Readiness Assessment.

TASK 5: SCHEDULED QA PRESENTATIONS

Vendor's QA Professional shall be required to attend and present project status at any scheduled JISC meeting, as appropriate and recommended by the Executive Sponsors. The Vendor's QA Professional may also be required to present a post-project report as determined by the JISC.

TASK 5: DELIVERABLES

The Vendor's QA Professional shall attend and present at all the JISC meetings, as appropriate and recommended by the Executive Sponsors. If required by the JISC, the

Vendor's QA Professional shall attend and present a post-project report.

TASK 6: ROUTINE QA BRIEFINGS

Vendor shall be required to provide periodic QA briefings to the JISC regarding overall project status and readiness for the next project phase. When requested, the Vendor's QA Professional shall brief the JISC regarding project status and the Phase Readiness Assessment. The Executive Sponsor shall be notified of the briefing request and given the opportunity to attend.

TASK 6: DELIVERABLES

When requested, the Vendor's QA Professional shall brief the JISC regarding project status and the Phase Readiness Assessment. The Executive Sponsor shall be notified of the briefing request and given the opportunity to attend.

4. Timeline and Period of Performance

The period of performance for this project will start on or about March 1, 2012 and the work tasks are estimated to continue for a single two (2) year term period. AOC has the right to extend or terminate this SOW at its sole discretion.

Deliverables	Due Dates
Initial QA	March 20, 2012
QA Approach and Plan	March 30, 2012
Routine QA Reports	First Monday of every Month
Phase Readiness Assessment	As Required
Scheduled QA Presentations	As Required, typically weekly
Routine QA Briefings	As Required

Changes to this SOW shall be mutually agreed upon in writing through the execution of a contract amendment signed by both parties.

5. Compensation and Payment

AOC shall pay Vendor an amount not to exceed *[specify maximum dollar amount]* for the performance of all activities necessary for or incidental to the performance of work as set forth in this SOW. Vendor's compensation for services rendered shall be based on Vendor's Prices as set forth in the Contract's Schedule A, "Authorized Services and Price List".

AOC shall not reimburse Vendor for any travel and other expenses incurred in performing work under this SOW.

6. Vendor Staff, Roles and Responsibilities

For work to be performed for the AOC, the AOC reserves the right to reject any of the Vendor employees. Any and all costs or expenses associated with replacement of any person or entity shall be borne by the Vendor.

Vendor may not change or replace any of the staff assigned to this Contract without prior approval of the AOC, which approval will not be unreasonably withheld. Vendor is not responsible for delays or repeated tasks caused by factors outside its control. These factors include, but are not limited to, availability of AOC personnel, equipment, and telecommunication provider services.

Vendor will use commercially reasonable efforts to take into account the AOC's schedule, but in all events the performance of Services is subject to the availability of the AOC personnel and resources, as determined by the AOC.

Vendor shall be responsible to ensure that all its employees are properly trained, certified, or licensed as appropriate and are properly qualified by education and experience to perform the work. Vendor shall avoid overstaffing the work or shuffling personnel assigned to said work.

Vendor will participate in presentations for the AOC executive management and the steering committees.

Vendor will provide the applicable and necessary labor, consultation, materials, project management and/or tools to perform the Services and provide the Deliverables described herein.

6.1 Vendor Quality Assurance Professional

Vendor Quality Assurance Professional must perform all QA responsibilities defined in this SOW throughout the term of the Contract. The QA Professional will actively participate in the SC CMS Project meetings and is considered by the AOC to be a key player in the success of the SC CMS project. The AOC's intent is for the QA Professional to monitor and track the processes, products, and deliverables of both the successful RFP Vendor and the State's integration efforts, focusing on issues of substance that affect the course of the SC CMS Project.

In order to facilitate a truly independent reporting structure, the QA Professional will report directly to the Executive Sponsor and work with all members of the project team.

6.2 Vendor Account Manager

Vendor Account Manager will be the principal point of contact for the AOC concerning Vendor's performance under this Contract. Vendor shall notify the Project Manager, in writing, when there is a new Vendor Account Manager assigned to this Contract. The Vendor Account Manager information is:

Vendor Account Manager: *<Last Name, First Name>*

Address: *<Street Address, City, State, Zip Code+4>*

Phone: *(XXX) XXX-XXXX*

Fax: *(XXX) XXX-XXXX*

E-mail: *<email address>*

6.3 Additional Requirements

Vendor will be required to share their knowledge and expertise with the AOC and partners assigned to the project. Vendor will work collaboratively with all necessary project

leadership, project staff and project partners assigned to this project. Work products produced by the Vendor for AOC will become the property of AOC. Vendor must be able to work collaboratively with AOC and project partners to gain understanding of their business needs.

7. OC Staff, Roles and Responsibilities

The AOC shall use the Vendor's QA Professional to ensure that Information Technology (IT) projects are conducted in a disciplined, well-managed, and consistent manner that promotes the delivery of quality products completed on time, within budget, and that supports the business requirements of the agency and the SC CMS Project.

The duties of the AOC shall include:

- Provide the Vendor's QA Professional access to all aspects of the project, including but not limited to project personnel, documentation, meetings, and other resources
 - This access shall be in a manner consistent with the OCIO Security Policy and Standard as well as agency security policies for proprietary or sensitive information
- Ensure that the Vendor develops and presents a QA Plan to the agency for formal acceptance
- Maintain a separate line in the project budget for QA services expenditures
- Communicate any issues or concerns with respect to the Services or Deliverables in a timely manner

8. Additional Terms and Conditions Specific to this SOW

Vendor will work collaboratively with all necessary project leadership, project staff and project partners assigned to this project. Work products produced by the Vendor for the AOC will become the property of the AOC. Vendor must be able to work collaboratively with the AOC and project partners to gain understanding of their business needs.